

The Law Office of William W. Cochran, LLC
3555 Stanford Road, Suite 230
Fort Collins, CO 80525

PATENT APPLICATION
DOCKET NO.: AXAS.01USU1

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Timothy J. Tucker

Serial No.: 10/082,739

Examiner:

Filing Date: 02/22/2002

Group Art Unit: 2163

Title: XML Data Switch

COMMISSIONER FOR PATENTS
P.O. Box 1450, Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

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GROUP 3600

Sir:

This Information Disclosure Statement is submitted:

- ☒ (X) under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ () under 37 CFR 1.97(c) together with either a:
- ☐ () Certification under 37 CFR 1.97(e), or
- ☐ () a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ () under 37 CFR 1.97(d) together with a:
- ☐ () Certification under 37 CFR 1.97(e), and
- ☐ () a petition under 37 CFR 1.97(d)(2)(ii), and
- ☐ () a \$130.00 petition fee set forth in 37 CFR 1.17(i)(1)
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)
- ☐ () A check in the amount of \$_____.00 is enclosed herewith.
- ☐ () Please charge to Deposit Account #50-1491 the amount of \$_____.

At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 50-1491 pursuant to 37 CFR 1.25.

☒ (X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

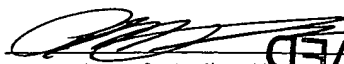
☐ () A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

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Respectfully submitted,

By 
Attorney/Agent for Applicant(s)
Paul M. Thompson
Reg. No.: 52,286

Date: January 21, 2004

Telephone No.: (970) 377-6363

Date of Deposit or Transmission: January 21, 2004

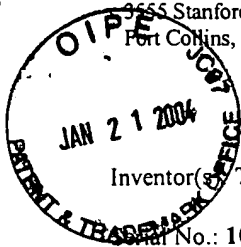
Typed Name: Zabrina Perry

Signature: 

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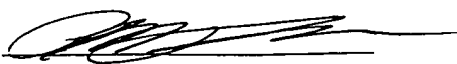
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Typed Name: Zabrina Perry

Signature: 

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. AXAS.01USU1	SERIAL NO. 10/082,739
	APPLICANT Timothy J. Tucker	
	FILING DATE 02/22/2002	GROUP 2163

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	PATENTEE	CLASS	
	A	6,292,932 B1	18 Sep. 2001	Baisley et al.	717	1
	B	6,289,501 B1	11 Sep. 2001	Mutschler, III	717	1
	C	6,279,015 B1	21 Aug. 2001	Fong et al.	707	523
	D	6,263,332 B1	17 Jul. 2001	Nasr et al.	707	5
	E	6,209,124 B1	27 Mar. 2001	Vermeire et al.	717	1
	F	6,085,196	4 Jul. 2000	Motoyama et al.	707	102
	G	6,047,280	4 Apr. 2000	Ashby et al.	707	2
	H	6,023,714	8 Feb. 2000	Hill et al.	707	513
	I	6,012,098	4 Jan. 2000	Bayeh et al.	709	246
	J	6,009,436	28 Dec. 1999	Motoyama et al.	707	102
	K	5,970,490	19 Oct. 1999	Morgenstern	707	10
	L	5,920,879	6 Jul. 1999	Kyojima et al.	707	517
	M	5,752,021	12 May 1998	Nakatsuyama et al.	395	605

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	N	"I-Flow Architecture White Paper," Fujitsu Software Corporation, 2001.
	O	Rob Allen, "Workflow: An Introduction," Open Image Systems, Inc., pgs. 15-38.
	P	David Hollingsworth, "The Workflow Reference Model," Document Number TC00-1003, Issue 1.1, Workflow Management Coalition, 19 January 1995.
EXAMINER		DATE CONSIDERED